

6000 FINANCE/ADMINISTRATION

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6100 Finance/Administrative Section Organization

The Finance Section is responsible for all incident costs and financial considerations. Includes the Time Unit, Procurement Unit, Compensation/Claims Unit and Cost Unit. The IC will determine the need for a Finance/Administration Section, and designate an individual to perform that role. If no Finance Section is established, the IC will perform all finance functions. The Finance/Administration Section is set up for any incident that may require on-site financial management. More and more, larger incidents are using a Finance/Administration Section to monitor costs. Smaller incidents may also require certain Finance/Administration functions. For example, the IC may establish one or more units of the Finance/Administration Section for such things as procuring special equipment, contracting with a vendor, or for making cost estimates of alternative strategies.

The Finance Section may establish four units as necessary. Not all of the units may be required, and they will be established based upon need.

**FINANCE/ADMIN SECTION DIAGRAM
FIGURE 6000-A**

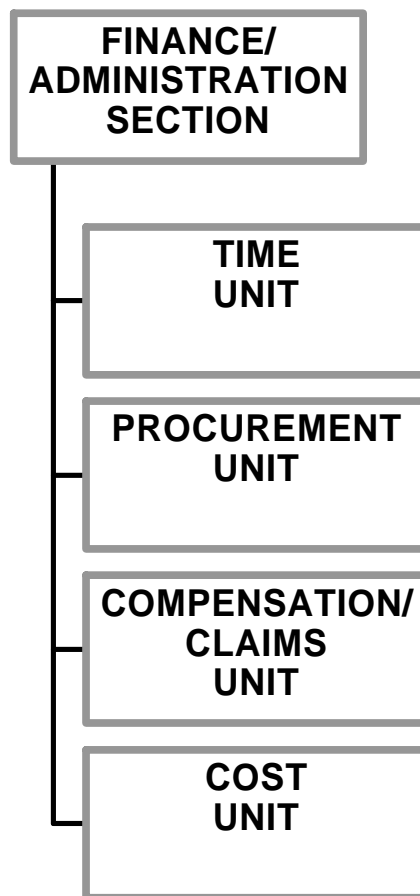
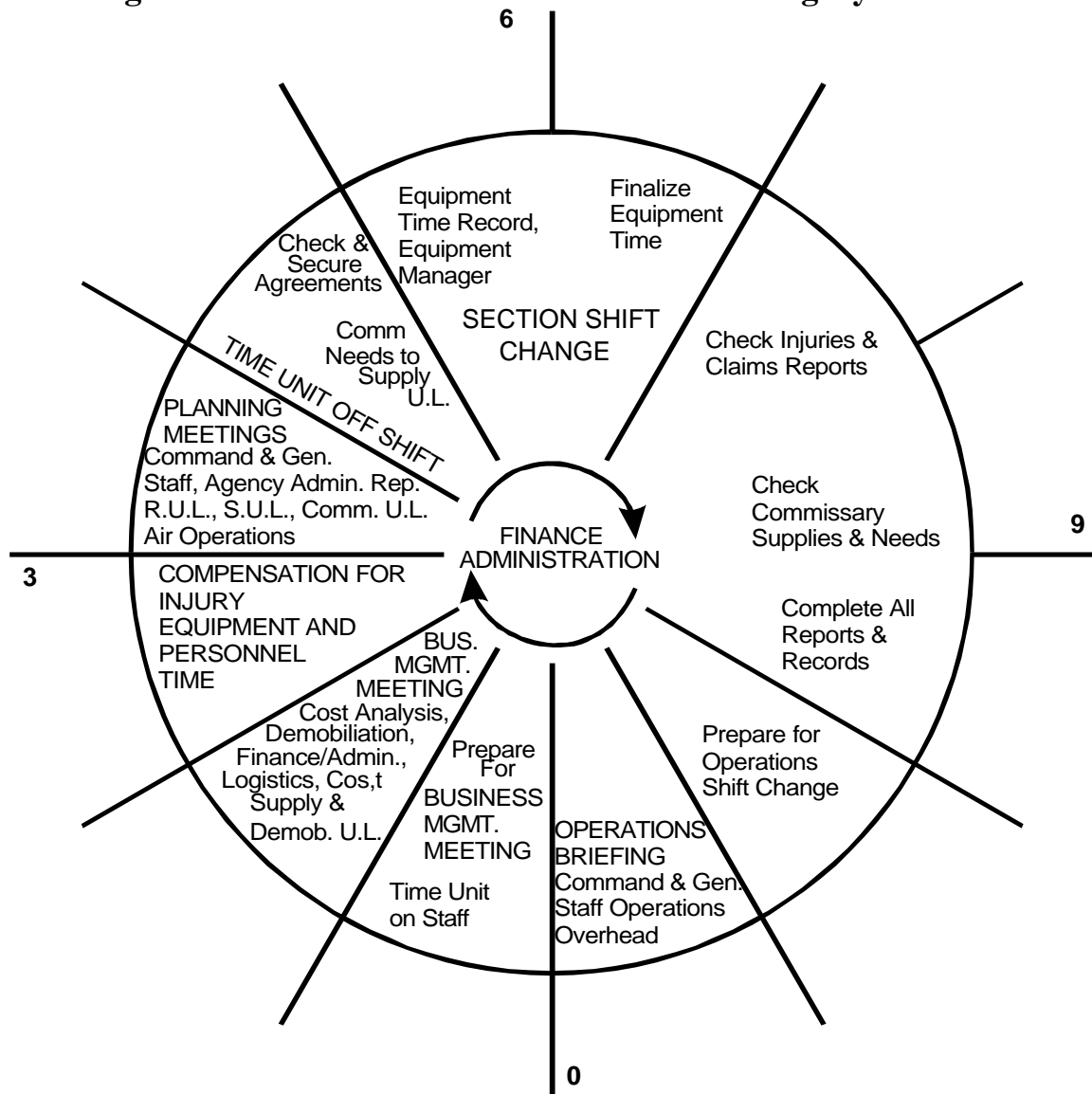


Figure 6000-B: Finance/Admin Section Planning Cycle Guide



Based on a 12 hour operational period, may be modified based on actual duration of operational period (e.g. 24, 36, etc.)

ABBREVIATIONS & ACRONYMS

Agency Admin. Rep.:	Agency Administrator Representative
Bus. Mgmt.:	Business Management
Comm. U.L.:	Communications Unit Leader
Demob. U.L.:	Demobilization Unit Leader
Finance/Admin.:	Finance/Administration
Gen.:	General
I.A.P.:	Incident Action Plan
R.U.L.:	Resources Unit Leader
S.U.L.:	Situation Unit Leader
U.L.:	Unit Leader

6200 ROLES AND RESPONSIBILITIES

6210 Finance Section Chief

The Finance/Administration Section Chief, a member of the General Staff, is responsible for all financial and cost analysis aspects of the incident and for supervising members of the Finance/Administration Section.

- a. Review Common Responsibilities (Section 2120).
- b. Attend briefing with responsible agency to gather information.
- c. Attend planning meetings to gather information on overall strategy.
- d. Determine resource needs.
- e. Develop an operating plan for Finance/ Administration function on incident.
- f. Prepare work objectives for subordinates brief staff, make assignments, and evaluate performance.
- g. Inform members of the Unified Command and General Staff when Section is fully operational.
- h. Meet with assisting and cooperating agency representatives as required.
- i. Provide input in all planning sessions on financial and cost analysis matters.
- j. Maintain daily contact with agency(s) administrative headquarters on finance matters.
- k. Ensure that all personnel time records are transmitted to home agencies according to policy.
- l. Participate in all demobilization planning.
- m. Ensure that all obligation documents initiated at the incident are properly prepared and completed.
- n. Brief agency administration personnel on all incident related business management issues needing attention and follow-up prior to leaving incident.

6220 Time Unit / Leader

The Time Unit Leader is responsible for equipment and personnel time recording.

- a. Review Common Responsibilities (Section 2120).
- b. Review Unit Leader Responsibilities (Section 2121).
- c. Obtain briefing from Finance/Administration Section Chief.
- d. Determine resource needs.
- e. Establish contact with appropriate agency personnel/representatives.
- f. Organize and establish Time Unit.
- g. Establish Time Unit objectives.
- h. Ensure that daily personnel time recording documents are prepared in compliance with time policies.
- i. Establish commissary operation as required.
- j. Submit cost estimate data forms to Cost Unit as required.
- k. Provide for records security.
- l. Ensure that all records are current or complete prior to demobilization.
- m. Release time reports from assisting agencies to the respective Agency Representatives prior to demobilization.
- n. Brief Finance/Administration Section Chief on current problems, recommendations, outstanding issues, and follow-up requirements.
- o. Maintain Unit/Activity Log (ICS 214).

6221 Equipment Time Recorder

Under Supervision of the Time Unit Leader, Equipment Time Recorder is responsible for overseeing the recording of time for all equipment assigned to an incident.

- a. Review Common Responsibilities (section 2120).
- b. Set up Equipment Time Recorder function in location designated by Time Unit Leader.

- c. Advise Ground Support Unit, Facilities Unit, and Air Support Group of the requirement to establish and maintain a file for maintaining a daily record of equipment time reports.
- d. Assist units in establishing a system for collecting equipment time reports.
- e. Post all equipment time tickets within four hours after the end of each operational period.
- f. Prepare a use and summary invoice for equipment (as required) within 12 hours after equipment arrival at incident.
- g. Submit data to Time Unit Leader for cost effectiveness analysis.
- h. Maintain current posting on all charges or credits for fuel, parts, services and commissary.
- i. Verify all time data and deductions with owner/operator of equipment.
- j. Complete all forms according to agency specifications.
- k. Close out forms prior to demobilization.
- l. Distribute copies per agency and incident policy.

6222 Personnel Time Recorder

The Personnel Time Recorder reports to the Time Unit Leader and records personnel information.

- a. Review Common Responsibilities (Section 2120).
- b. Establish and maintain a file for personnel time reports within the first operational period.
- c. Initiate, gather, or update a time report from all applicable personnel assigned to the incident for each operational period.
- d. Ensure that all personnel identification information is verified to be correct on the time report.
- e. Post personnel travel and work hours, transfers, promotions, specific pay provisions and terminations to personnel time documents.
- f. Ensure that time reports are signed.
- g. Close out time documents prior to personnel leaving the incident.
- h. Distribute all time documents according to agency policy.
- i. Maintain a log of excessive hours worked and give to Time Unit Leader daily.
- j. Maintain Unit/Activity Log (ICS 214).

6230 Procurement Unit / Leader

The Procurement Unit Leader is responsible for administering all financial matters pertaining to vendor contracts.

- a. Review Common Responsibilities (Section 2120).
- b. Review Unit Leader Responsibilities (Section 2121).
- c. Obtain briefing from Finance/Administration Section Chief.
- d. Contract appropriate unit leaders on incident needs and any special procedures.
- e. Coordinate with local jurisdictions on plans and supply sources.
- f. Obtain Incident Procurement Plan.
- g. Prepare and sign contracts and land use agreements as needed.
- h. Draft memorandums of understanding.
- i. Establish contracts with supply vendors as required.
- j. Interpret contracts/agreements and resolve claims or disputes within delegated authority.
- k. Coordinate with Compensation/Claims Unit on procedures for handling claims.
- l. Finalize all agreements and contracts.
- m. Coordinate use of imprest funds as required.
- n. Complete final processing and send documents for payment.
- o. Coordinate cost data in contracts with Cost Unit Leader.
- p. Maintain Unit/Activity Log (ICS 214).

6240 Compensation/Claims Unit / Leader

The Compensation/Claims Unit Leader is responsible for the overall management and direction of all Compensation for Injury Specialist and Claims Specialists assigned to the incident.

- a. Review Common Responsibilities (Section 2120).
- b. Review Unit Leader Responsibilities (Section 2121).
- c. Obtain briefing from Finance/Administration Section Chief.
- d. Establish contact with incident Safety Officer and Liaison Officer or Agency Representatives if no Liaison Officer is assigned.
- e. Determine the need for Compensation for Injury and Claims Specialists and other personnel if needed.
- f. Establish Compensation for Injury work area with the Medical Unit whenever feasible.
- g. Review Incident Medical Plan.
- h. Ensure that Compensation/Claims Specialists have adequate work space and supplies.
- i. Brief Compensation/Claims Specialists on incident activity.
- j. Coordinate with Procurement Unit on procedures for handling claims.
- k. Periodically review all logs and forms produced by Compensation/Claims Specialists to ensure:
 - Work is complete
 - Entries are accurate and timely
 - Work is in compliance with Agency requirements and policies.
- l. Keep Finance/Administration Section Chief briefed on unit status and activity.
- m. Ensure that all Compensation for Injury and Claims Logs and Forms are up to date and routed to the proper agency for post-incident processing prior to demobilization.
- n. Demobilize Unit in accordance with Demobilization Plan.
- o. Maintain Unit/Activity Log (ICS 214).

6250 Cost Unit / Leader

The Cost Unit Leader is responsible for collecting all cost data, performing cost effectiveness analyses, and providing cost estimates and cost saving recommendations for the incident.

- a. Review Common Responsibilities (Section 2120).
- b. Review Unit Leader Responsibilities (Section 2121).
- c. Obtain briefing from Finance/Administration Section Chief.
- d. Coordinate with agency headquarters on cost reporting procedures.
- e. Obtain and record all cost data.
- f. Prepare incident cost summaries.
- g. Prepare resources-use cost estimates for Planning.
- h. Make recommendations for cost savings to Finance/Administration Section Chief.
- i. Maintain cumulative incident cost records.
- j. Ensure that all cost documents are accurately prepared.
- k. Complete all records prior to demobilization.
- l. Provide reports to Finance/Administration Section Chief.
- m. Maintain Unit/Activity Log (ICS 214).

6300 FOSC ACCESS TO OIL SPILL LIABILITY TRUST FUND (OSLTF) **(Reference 40 CFR 300, 33 CFR 133, and 33 CFR 136)**

6310 National Pollution Fund Center (NPFC)

The National Pollution Funds Center (NPFC) is the fiduciary agent for the Oil Spill Liability Trust Fund (OSTLF) and CERCLA/Superfund manager for the funds provided by EPA for hazardous materials incident response.

6320 Oil Spill Liability Trust Fund (OSTLF)

The Oil Spill Liability Trust Fund (OSTLF) is the Fund established under section 9509 of the Internal Revenue Code of 1986 (26 USC 9509). The following procedures apply to OSCs (either Coast Guard or EPA) who are performing oil removal operations under the NCP and require funding support from the OSTLF.

1. The OSC contacts the cognizant CG District Commander and requests issuance of an FPN and a corresponding ceiling amount.
2. The District Commander issues the FPN and associated ceiling amount to the OSC by priority message. Additional information needed includes:
 - a. Name of all known vessels and/or facilities involved;
 - b. Source of the discharge or potential discharge, if known;
 - c. Responsible Party, if known;
 - d. Location and date of discharge;
 - e. Identification of the body of water impacted or threatened;
 - f. The distribution of funds between contractor costs and all other costs;
 - g. Clean up contractors selected, if any.
3. All ceiling messages, POLREPS, or others messages related to the incident where the OSTLF has been accessed shall include the OSC, NPFC, CG FINCEN, and cognizant MLC contracting branch as INFO addressee, in addition to current reporting requirements.

6330 Comprehensive Environmental Response, Compensation & Liability Act (CERCLA)

The Comprehensive Environmental Response, Compensation & Liability Act (CERCLA) is the CERCLA fund. The following procedures apply to OSCs (either Coast Guard or EPA) who are performing hazardous substance response operations under the NCP and require funding support from the CERCLA Fund.

1. The OSC contacts the NPFC Case officer and requests issuance of a CERCLA Project Number (CPN) and a corresponding ceiling amount. Additional information needed includes:
 - a. MSO and OSC Point of Contact;
 - b. Name of incident, location (city/county, state);
 - c. LAT/LONG
 - d. Date incident occurred/discovered and date OSC action commenced;
 - e. Description of threat;
 - f. Ceiling amount requested;
 - g. Contractor(s) hired and amount obligated for each.
2. The NPFC will respond promptly to all requests, with confirmation by priority message no later than the next business day.
3. Initial CERCLA Ceiling requests are limited to \$250,000

4. All messages, POLREPS, or others messages related to the incident where the CERCLA Fund has been accessed shall include the OSC, NPFC, District (m), CG FINCEN, and cognizant MLC contracting branch as INFO addressees, in addition to current reporting requirements.
5. There are special OSC requirements for CERCLA incidents which place additional reporting requirements. See the NPFC User Guide for more information.

6400 OTHER ACCESS TO FUNDS

6410 State Access to the Oil Spill Liability Trust Fund (OSLTF) - Direct and Indirect (Reference 33 CFR 133)

Information about state access to the Fund is found in 33 CFR 133 and 33 CFR 136 with additional guidance in the National Pollution Funds Center's User Reference Guide. Information from the User Guide can be obtained by contacting the Eleventh Coast Guard District Marine Safety Division Office at phone number **(510) 437-2940**. For additional information regarding these procedures or related subjects, State representatives, OSCs, and other interested parties are urged to contact the NPFC at **(202) 493-6700**.

6420 Local Access to the State Oil Spill Response Trust Fund (OSRTF)

If the Oil Spill Liability Trust Fund is opened to provide funds for a spill incident, local agencies should seek reimbursement through the OSC. If federal funds are not available or will not be available in an adequate period of time, and a responsible party does not exist or is unable or unwilling to provide adequate and timely cleanup and to pay for the damages resulting from a marine oil spill, then the State of California Oil Spill Response Trust Fund shall be used to pay necessary costs for responding to, containing, and cleaning up the oil spill. Information regarding these procedures can be obtained from the State of California Office of Oil Spill Prevention and Response Cost Recovery Unit at phone number **(916) 327-9407**.

6430 Lead Administrative Trustee Access to the OSLTF

Executive Order 12777 (October 22, 1991) requires the federal natural resource trustees to select a representative as the federal lead administrative trustee (LAT). In general, the LAT serves as the federal contact for all aspects related to damage assessment, resource restoration, and federal funding for NRDA activities. Depending on the resources affected and other relevant factors, it might be appropriate for most administrative duties to be undertaken by a lead trustee from a non-federal agency. In such cases, a LAT would still be selected to work with the representatives of the OSLTF to secure federal funds to initiate the damage assessment. All other administrative duties regarding damage assessment activities would be coordinated by the non-federal lead trustee. This lead trustee or trustee agency shall be selected by consensus of all participating trustees. The trustees will notify the Coast Guard of the LAT and, when applicable, non-federal lead trustee as soon as possible after an oil spill.

The trustees intend to execute a general Memorandum of Agreement (MOA) to coordinate their damage assessment and restoration activities. Among other things, the MOA will identify trustees, establish criteria for selecting the LAT, and provide procedures for decision making and monetary recoveries.

The LAT will contact the OSC or his/her representative to secure money to initiate the assessment of natural resource damages following an oil spill. The LAT will provide an outline of studies jointly agreed upon by the participating trustees for which funding is sought and how such funds will be allocated among the trustees. Each participating trustee will provide documentation of all expenditures, costs and activities. The LAT is responsible for coordinating all such documentation to the representatives of the OPA Fund.

6440 Claims Against Fund (Reference 33 CFR 136, Subpart C)

Information about claims against the Fund can be found in 33 CFR 133 and 33 CFR 136 with additional guidance in the National Pollution Funds Center's User Reference Guide. A full copy of the User Guide can be obtained by contacting the Eleventh Coast Guard District Marine Safety Division Office at phone number 510/437-2940. For additional information regarding these procedures or related subjects, State representatives, OSCs, and other interested parties are urged to contact the NPFC at **(202) 493-6700**.

6500 Cost Recovery & Documentation Procedures (Ref. 33 CFR 136, Subpart B)

Information about Cost Recovery and Documentation and cost recovery/documentation forms are in 33 CFR 133 and 33 CFR 136 with additional guidance in the National Pollution Funds User Reference Guide. Information from the User Guide can be obtained by contacting the Eleventh Coast Guard District Marine Safety Division Office at phone number 510/437-2940, or the local Marine Safety Office. For additional information regarding these procedures or related subjects, State representatives, OSCs, and other interested parties are urged to contact the NPFC at **(202) 493-6700**.

6510 Cost Recovery & Documentation Forms/Instructions

See USCG National Pollution Funds Center Oil Spill Liability Trust Fund – User Reference Guide.

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